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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR    | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 10/621,432      | 07/17/2003  | Ronald Charles Bernotas | AM101110            | 1732             |

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EXAMINER

WARD, PAUL V

ART UNIT PAPER NUMBER

1623

DATE MAILED: 05/19/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

10/621,432

Applicant(s)

BERNOTAS ET AL.

Examiner

PAUL V. WARD

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☐ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) 10-14 and 20 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-9 and 15-19 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |  |
|---|--|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. ____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)            |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date ____ | 6) <input type="checkbox"/> Other: ____  |

## **DETAILED ACTION**

### ***Election/Restrictions***

Restriction to one of the following inventions is required under 35 U.S.C. 121:

- I. The compounds according to claim 1 of formula I, wherein W is C. These compounds are classifiable in class 548, subclass 400.
- II. The compounds according to claim 1 of formula I, wherein W is N. These compounds are classifiable in class 548, subclass 125.
- III. The process for preparing according to claim 20, wherein W is C. These compounds are classifiable in class 548, subclass 400.
- IV. The process for preparing according to claim 20, wherein W is N. These compounds are classifiable in class 548, subclass 125.
- V. The method of treating according to claims 10-14, wherein W is C. These methods are classifiable in class 548, subclass 400.
- VI. The method of treating according to claims 10-14, wherein W is N. These methods are classifiable in class 548, subclass 400.

Inventions of Groups I-II and Groups III-IV are related as process of making and product made. The inventions are distinct if either or both of the following can be shown: (1) that the process as claimed can be used to make other and materially different product or (2) that the product as claimed can be made by another and materially different process (MPEP § 806.05(f)). In the instant case, the process as claimed can be used to make other and materially different 5-HT6 ligands.

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Inventions in Groups I-II and Groups V-VI are related as product and process of use. The inventions can be shown to be distinct if either or both of the following can be shown: (1) the process for using the product as claimed can be practiced with another materially different product or (2) the product as claimed can be used in a materially different process of using that product (MPEP § 806.05(h)). In the instant case, the product as claimed can be used in a materially different process such as Parkinson or Alzheimer's.

The inventions of Groups I-VI are separate and patentably distinct because there is no patentable co-action among them and a reference anticipating one member will not render another obvious.

Because these inventions are distinct for the reasons given above and have acquired a separate status in the art because of their recognized divergent subject matter and different classification, a search of the six groups designated above would impose an undue burden upon the examiner, and restriction for examination purposes as indicated is proper.

A telephone call was made to Barbara Lenses on May 11, 2005 to request an oral election to the above restriction requirement. Ms. Lenses elected, with traverse, Group I (W is C), and elected, for search purposes, the species of Example 7, in the April 11, 2005 response.

Applicant is entitled to have the method claims, which are commensurate in scope with the elected invention, rejoined if the compound claims are allowable.

An action on the merits of Group I (claims 1-9 and 15-19) is contained herein.

**Specification Objection**

The disclosure is objected to because of the following informalities: In Example 7 on page 27 of the Specification, an "e" is missing (it reads "3-Chloroph nylsulfonyl") in the Preparation title.

Appropriate correction is required.

**Claim Rejections - 35 USC § 102**

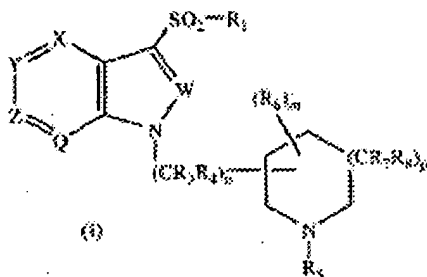
The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

1. Claims 1-9 and 15-19 are rejected under 35 U.S.C. 102(b) as being anticipated by Edwards et al. (WO 01/12629).

Applicant teaches azaindazole derivatives having a general formula I:



wherein all the variables are as defined in the claim.

Edwards discloses azaindazole compounds, which share the same formulaic compounds. (See Abstract and formula I). The compounds in the said reference has the same structure, which includes W as C, R<sub>1</sub> as a ring system containing N, R<sub>3</sub>, R<sub>4</sub>, R<sub>5</sub>

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and R<sub>6</sub> as H or alkyl, and falls within the range of Applicant's azaindazole compounds. (See pages 1-3, and 13-16). Since Edwards teaches the exact compounds, Applicant's claims are anticipated, and thus, rejected under 35 U.S.C. 102(b).

2. Claims 1-9 and 15-19 are rejected under 35 U.S.C. 102(b) as being anticipated by Allen et al. (WO 97/49698).

Allen discloses azaindazole compounds, which share the same formulaic compounds. (See Abstract and formula I). The compounds in the said reference has the same structure, which includes W as C, R<sub>1</sub> as a ring system containing N, R<sub>3</sub>, R<sub>4</sub>, R<sub>5</sub> and R<sub>6</sub> as H or alkyl, and falls within the range of Applicant's azaindazole compounds. (See pages 1-5). Since Allen teaches the exact compounds, Applicant's claims are anticipated, and thus, rejected under 35 U.S.C. 102(b).

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-9 and 15-19 are rejected under 35 U.S.C. 103(a) as being unpatentable over Edwards et al. (WO 01/12629)

Edwards teaches a generic group of azaindazole derivatives, which embraces Applicants' claimed compounds. (See formula 1 and definitions for A, B, D, E, R<sup>1</sup>, R<sup>2</sup> etc.). The claims differ from the reference by reciting specific species and a more limited genus than the reference. However, it would have been obvious to one having

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ordinary skill in the art at the time of the invention to select any of the species of the genus taught by the reference, including those instantly claimed, because the skilled chemist would have the reasonable expectation that any of the species of the genus would have similar properties, and thus, the same use as taught for the genus as a whole. One of ordinary skill in the art would have been motivated to select the claimed compounds from the genus in the reference since such compounds would have been suggested by the reference as a whole. A prior art disclosed genus of useful compounds is sufficient to render prima facie obvious a species falling within a genus. Thus, Applicant's claims are obvious, and therefore, rejected under 35 U.S.C. 103.

4. Claims 1-9 and 15-19 are rejected under 35 U.S.C. 103(a) as being unpatentable over Allen et al. (WO 97/49698).

Allen teaches a generic group of azaindazole derivatives, which embraces Applicants' claimed compounds. (See formula 1 and definitions for A, B, R<sup>1</sup>, R<sup>2</sup>). The claims differ from the reference by reciting specific species and a more limited genus than the reference. However, it would have been obvious to one having ordinary skill in the art at the time of the invention to select any of the species of the genus taught by the reference, including those instantly claimed, because the skilled chemist would have the reasonable expectation that any of the species of the genus would have similar properties, and thus, the same use as taught for the genus as a whole. One of ordinary skill in the art would have been motivated to select the claimed compounds from the genus in the reference since such compounds would have been suggested by the reference as a whole. A prior art disclosed genus of useful compounds is sufficient to

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to render prima facie obvious a species falling within a genus. Thus, Applicant's claims are obvious, and therefore, rejected under 35 U.S.C. 103.

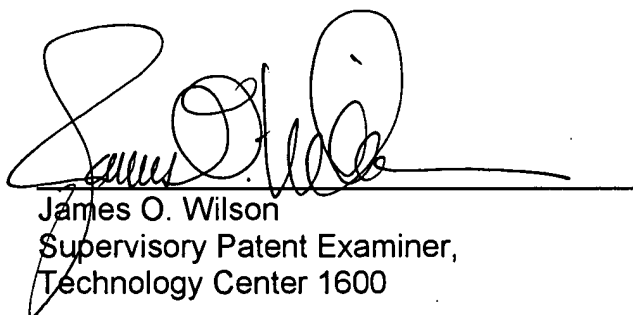
### ***Conclusion***

Claims 1-9 and 15-19 are rejected. No claims are allowed.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to PAUL V WARD whose telephone number is 571-272-2909. The examiner can normally be reached on M-F 8 am to 4 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James O Wilson can be reached on 571-272-0661. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



James O. Wilson  
Supervisory Patent Examiner,  
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